

FORM PTO-1390 (Modified)
REV 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

GRFL-5-PCT

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

NOT 09/936790

INTERNATIONAL APPLICATION NO.

PCT/GB00/00969

INTERNATIONAL FILING DATE

15 MARCH 2000

PRIORITY DATE CLAIMED

18 MARCH 1999

TITLE OF INVENTION

METHOD FOR DOWNHOLE LOGGING

APPLICANT(S) FOR DO/EO/US

MILLAR ET AL

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ A copy of the International Search Report (PCT/ISA/210).
8. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 20 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ Certificate of Mailing by Express Mail
20. ☐ Other items or information:

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21. The following fees are submitted:

CALCULATIONS PTO USE ONLY

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):

- ☐ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$970.00
- ☒ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$860.00
- ☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$690.00
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$670.00
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) \$96.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

\$860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	2 - 20 =	0	x \$18.00
Independent claims	1 - 3 =	0	x \$78.00
Multiple Dependent Claims (check if applicable).			<input type="checkbox"/>

TOTAL OF ABOVE CALCULATIONS =

\$860.00

Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable).

☐ \$430.00

SUBTOTAL =

\$0.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).

☐ \$0.00

TOTAL NATIONAL FEE =

\$0.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).

☐ \$0.00

TOTAL FEES ENCLOSED =

\$430.00

Amount to be:
refunded \$
charged \$

- ☐ A check in the amount of _____ to cover the above fees is enclosed.
- ☒ Please charge my Deposit Account No. 50-0765 in the amount of \$430.00 to cover the above fees.
A duplicate copy of this sheet is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. 50-0765 A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

SIGNATURE

Ronald B. Sherer
NAME

REGISTRATION NUMBER

19,977
DATE 16 SEPT. 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PCT GROUP

In re the Application of:) Title: Method For Downhole
Millar et al) Logging
U.S. Serial No.: Not Yet Assigned) Art Unit: Unknown
International Application No.:) Examiner: Unknown
PCT/GB00/00969) Attorney Docket:
International Filing Date:) GRFL-5-PCT
15 March 2000)
U.S. Filing Date:)
Filed Herewith)

FIRST PRELIMINARY AMENDMENT

Honorable Commissioner of
Patents and Trademarks
Washington, D.C. 20231

I hereby certify that this
correspondence is being deposited with
the United States Postal Service as
Express mail in an envelope addressed
to: Assistant Commissioner for
Patents, Washington, D.C. 20231
on 17 September 2001

R. B. SHERER
R. B. Sherer
17 Sept. 01

Sir:

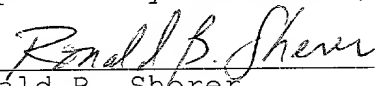
Please amend the above-identified International (PCT)
Application, which is filed herewith, as follows:

In order to reduce the filing fee, and also improve the form
of the claims and thereby expedite the prosecution, please cancel
Claims 1 - 22 and substitute new Claims 23 - 24 as follows:

23. A method for measuring the properties of a formation traversed by a borehole in which a directional seismic or sonic signal is generated downhole and is propagated into the surrounding formation and an electrokinetic signal generated by the seismic or sonic signal is detected by detecting means and in which the spatial distribution of the outgoing seismic signal is adjusted so that the electrokinetic signals are generated from different zones around the source of the seismic or sonic signal.

24. A method as claimed in Claim 1 in which the seismic signal is generated by the generation of a seismic or sonic shock downhole which propagates a seismic signal into the surrounding rock.

Respectfully submitted,



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Method for Downhole Logging

5 The present invention relates to a method and equipment for measuring the properties of subsurface rock from a tool lowered down a borehole. In particular it relates to a method and equipment for measuring such properties as the response time and amplitude of the electrokinetic coefficient, porosity and permeability of fluid-bearing porous rocks.

10 The measurement of permeability of rocks surrounding a borehole is important in assessing the location of water or oil reserves, including the quality and quantity of the reservoir rock. Existing methods are unable to measure the permeability of a porous rock directly with any accuracy from a downhole tool.

15 In addition to its value in the assessment of the quality and quantity of water or oil reservoirs, rock permeability is very important in determining at what rate and at what cost these fluids can be produced from boreholes.

20 US Patent 4427944 discloses a method and apparatus for investigating the permeability of earth formations traversed by a borehole in which a source of mechanical excitation is positioned in contact with the surface of a borehole and actuated to excite the formation and produce an electrokinetic potential in the formation which is detected inside the borehole, measured and used to calculate the permeability.

25 Patent Application PCT/GB96/02542 discloses a method of measuring the properties of rock surrounding a borehole in which a seismic pulse is generated downhole which propagates outwards from the borehole to produce electrokinetic signals which are detected within the borehole and used to measure the properties of the surrounding rock. In this application the seismic pulse radiates outwards in all directions and this
30 has been found to give superior results to uni-directional propagation of the seismic pulse as described in US Patent 4427944.

We have now devised an improved method for downhole logging.

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According to the invention there is provided a method for measuring the properties of a formation traversed by a borehole in which a directional seismic or sonic signal is generated downhole and is propagated into the surrounding formation and an electrokinetic signal generated by the seismic or sonic signal is detected by detecting
5 means and in which the spatial distribution of the outgoing seismic signal is adjusted so that the electrokinetic signals are generated from different zones around the source.

The seismic signal is generated by the generation of a seismic or sonic shock downhole which propagates a seismic signal into the surrounding rock.

10 The distribution of the seismic signal can be varied in three dimensions so that it can be varied azimuthally with respect to source of the seismic shock in the borehole and can be rotated radially about a circle with the source at the centre of the circle, or by a combination of these two modes the distribution of the seismic signal can be varied in
15 any direction.

The direction of the seismic signal can be varied mechanically by physically turning the source, for example a substantially uni-directional seismic source can be rotated so the direction of the seismic signal is rotated and it can be moved so that the
20 direction of the seismic signal moves up and down. Alternatively the seismic signal can be propagated omni-directionally and a shield with an aperture or "window" can be positioned around the source so that the seismic signal propagates through the window; moving the location of the window e.g. by rotating the shield will cause the direction of the seismic signal to change.

25 Preferably the direction of the seismic signal is changed by wave interference or wave interaction of two or more sources acting together to produced a seismic signal which is focussed in a particular direction or location so that, by varying the frequency, amplitude and/or phases of the sources of the seismic shock the spatial distribution,
30 direction and location of the outgoing seismic signal can be changed.

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The superposition, constructive interference and combination of wave fronts to produce a spatially focussed wave is known and the calculations and controls need to produce a specified focussed wave are known.

- 5 In an embodiment of the present invention there are two or more separate sources of the seismic shock spaced apart from each other and there are means to vary the amplitude, frequency and/or phase independently. The source of the seismic shock preferably propagates a seismic signal in substantially all directions so that the direction of the combined signal produced can be varied in three dimensions.

10

The source of the seismic signal is preferably not in contact with the borehole wall but positioned substantially centrally within the borehole.

15

Each of the seismic signals is preferably propagated radially outwards in all directions through the borehole fluid (the fluid in the borehole e.g. drilling mud etc.) and, subject to distortion by the borehole wall and variations in the rock, the seismic signal propagates outwards substantially uniformly in all directions. It is the combination of two or more seismic signals which controls the total seismic signal generated and enables the direction to be changed.

20

The electrical signal generated within the surrounding rock is received and detected at the tool within the borehole from substantially the chosen location or direction.

25

This invention also provides apparatus for measuring the properties of rocks surrounding a borehole, which apparatus comprises a casing adapted to be lowered down a bore hole in which casing there is a seismic means for generating seismic signals and a means for varying the direction of the seismic signal and having associated therewith, a means adapted to detect electrical signals generated by the effect of a seismic shock generated by seismic means.

30

The means for generating the seismic signals preferably generates a series of pressure pulses or, more preferably, a continuous pressure oscillation, at one or more finite frequencies. It may consist of a mechanical vibrational device, an electromagnetic device, a sparker source, an explosive source, an airgun operated hydraulically or

electrically or any other such conventional sonic source designed for use on a downhole tool but preferably it should be a magnetostrictive or piezoelectric transducer whose signal is controllable electrically. The term "seismic pulse" can include a pulse which can be referred to as a sonic or acoustic pulse.

5

A preferred means for enabling the seismic signals to be generated radially comprises a cylindrical chamber having holes in its side, which when downhole will be full of drilling fluid with the sides of the chamber being close to the sides of the borehole, there being a means to transmit a shock or applied force to the fluid in the chamber so as to cause the shock to be transmitted through the fluid in the chamber through the holes into the surrounding rock. The holes should be distributed substantially uniformly around the casing so that the shock is transmitted in all directions. The shock or force can be applied by any of the means referred to above.

10

The electrical signals can be detected by means of a pair of electrodes positioned within the borehole close to the borehole wall or, alternatively, a coil receiver mounted on the tool or, preferably, an electrode pair or short dipole antenna mounted on the tool aligned centrally within the borehole. In the equipment of the present invention it is convenient to use one or two electrical receivers placed above and below the acoustic sources, the case of the dipole antennae preferably aligned vertically or horizontally above and below the source and in the case of the coils with the plane of the coil aligned vertically or horizontally at the centre of the borehole.

20

The electrical receiver preferably consists of one or two pairs of electrodes forming a short dipole antenna with electrically isolated ends or two coils with electrically isolated lines. For each pair the ends are preferably connected to an amplifier which amplifies the signals whilst keeping them electrically isolated; this is carried out by referring the potential of each end independently to a floating reference potential. The signals are preferably amplified and converted to digital form before being communicated (e.g. by wire) to the surface for recording and processing.

25

30

Preferably the means for detecting the electrical signals compares the potential at the ends, in the case of the dipole antenna, or measures the electrical field strength in the case of the coil. The potential at the ends of dipole antenna in the one case or of the coil in the other, are compared by connecting them to an amplifier in which the

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potentials are preferably referred to a non-earthed reference (a virtual earth) and these new potentials are amplified and compared. Such a procedure allows amplification with very little distortion of the potential to be measured and with a high degree of common-mode noise rejection and is superior to other conventional methods of amplification. Preferably the non-earthed reference potential is that of a common line in the amplification and data acquisition circuitry of the receiver and is not connected directly to earth.

Preferably there is provision for isolating and balancing the signals from each of the electrodes or coils before they reach the amplifier circuit in order to give the maximum common-mode rejection of electromagnetic noise. This balancing can be achieved manually before running in a given borehole to compensate for variations in electrode performance in a given hole or by means of a suitable electronic circuit giving continuous feedback whereby continual adjustment can be made.

Each seismic source preferably continuously emits sound simultaneously on at least two finite frequencies with the resultant oscillation the sum of the various sinusoidal pressure oscillations. Preferably if two frequencies are used these frequencies are between 5Hz and 100 KHz, e.g. about 1KHz and 10 KHz. By variation and combination of these signals the direction of the combined signal can be varied.

Preferably the amplified electrical signals are demodulated with respect to the source frequencies and the amplitude and phase relative to the source sampled at a frequency of about 1-100 Hz per channel and converted from analogue to digital form, of 12 or 16 bit accuracy. The digital data transmitted to surface is recorded as a data file and can then be processed.

The seismic signal can be generated whilst the apparatus is lowered or raised up from the borehole, thus providing a continuous or semi-continuous measurement of rock along the borehole.

The seismic signal can be generated whilst the apparatus is lowered or raised up from the borehole, thus providing a continuous or semi-continuous measurement of rock along the borehole

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5 The amplitude and response of the electrokinetic response to an acoustic pulse have been shown to be closely related to the electrokinetic coefficient and the permeability of the target porous rock respectively. For a sonic oscillation of a known frequency the amplitude and phase of the electrical response with response to the source is a function of both electrokinetic coefficient and permeability; however, measurement of amplitude of response on two frequencies allows each of these properties of the rock to be determined independently. After processing a log of rock permeability, electrokinetic coefficient, electrical conductivity and porosity can be produced. Alternatively, if the amplitude and phase of the electrokinetic response at a single frequency are measured are measured, the permeability and porosity may be derived from these.

15 It is believed that the method of the present invention makes use of an electrokinetic effect in which the seismic wave generated by the seismic source and, passing through the interface of the borehole with the surrounding porous rock and through interfaces within the rock where the fluid properties change, stimulates electrical signals detected at the receiving electrodes or coils. The seismic oscillations within the porous rock give rise to fluid flow within the rock and as cations and anions adhere with differing strengths to capillary walls, a resulting electric dipole is generated within the rock. This electric dipole distorts the quasi-static electric field within the slightly conducting medium of the rock and this distortion propagates back to the tool, where it is measured.

25 The invention is illustrated in the accompanying drawings which illustrate schematically an embodiment of the invention

Referring to the drawing, a borehole (1) has a tool (2) lowered down it, the tool (2) incorporates two independent seismic sources (3) and (4) which can generate a seismic signal radially in all directions. There are electrodes (5) and (6) connected to an amplifier and a computer which can record and interpret the signals received.

The seismic sources (3) and (4) are remotely controlled so the amplitude, frequency and/or phase of the shock they generate can be independently varied.

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- In use the tool (2) is lowered downhole and the seismic sources (3) and (4) operated to generate a seismic wave fronts shown by (7) and (8) in the surrounding rock formation. These wave fronts will generate an interference pattern within the rock formation to produce a focussed wave and a seismic signal will be generated which
- 5 depends on the combination i.e. location of the focus, of the two wave fronts at any one location. By varying the amplitude, frequency and/or phases of the sources (3) and (4) the direction and strength of the signal formed by the combination of the signals from (3) and (4) can be controlled and varied in three dimensions.
- 10 The electrodes (5) and (6) receive the electrokinetic signal generated by this combined seismic signal and it is transmitted to an amplifier and the computer for analysis and recording.

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Claims

1. A method for measuring the properties of a formation traversed by a borehole in which a directional seismic or sonic signal is generated downhole and is propagated
5 into the surrounding formation and an electrokinetic signal generated by the seismic or sonic signal is detected by detecting means and in which the spatial distribution of the outgoing seismic signal is adjusted so that the electrokinetic signals are generated from different zones around the source of the seismic or sonic signal.
- 10 2. A method as claimed in claim 1 in which the seismic signal is generated by the generation of a seismic or sonic shock downhole which propagates a seismic signal into the surrounding rock.
- 15 3. A method as claimed in claim 1 or 2 in which the direction of the seismic signal is varied in three dimensions azimuthally with respect to source of the seismic shock in the borehole.
- 20 4. A method as claimed in any one of claims 1 to 3 in which the direction of the seismic shock is rotated radially about a circle with the source of the seismic shock at the centre of the circle.
5. A method as claimed in claim 3 or 4 in which the direction of the seismic signal is varied mechanically by physically turning the source
- 25 6. A method as claimed in claim 5 in which a substantially uni-directional seismic source is rotated so the direction of the seismic signal is rotated and moved so that the direction of the seismic signal moves up and down.
- 30 7. A method as claimed in claim 4 in which the seismic signal is propagated omnidirectionally and a shield with an aperture is positioned around the source so that the seismic signal propagates through the aperture and the direction of the seismic signal is changed by moving the location of the aperture.

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8. A method as claimed in any one of claims 1 to 4 in which the direction of the seismic signal is changed by wave interference or wave interaction of two or more sources acting together to produced a seismic signal which is focussed in a particular direction or location and by varying the frequency, amplitude and/or phases of the sources of the seismic shock the spatial distribution, direction and location of the outgoing seismic signal is changed.
9. A method as claimed in any one of claims 1 to 8 in which the source of the seismic signal is positioned substantially centrally within the borehole and is not in contact with the borehole wall
10. A method as claimed in claims 8 or 9 in which there are two or more separate sources of the seismic shock spaced apart from each other and there are means to vary the amplitude, frequency and/or phase independently and the source of the seismic shock propagates a seismic signal in substantially all directions so that the direction of the combined signal produced can be varied in three dimensions.
11. A method as claimed in claim 10 in which each seismic source continuously emits sound simultaneously on at least two finite frequencies with the resultant oscillation being the sum of the various sinusoidal pressure oscillations and by variation and combination of these signals the direction of the combined signal is varied.
12. A method as claimed in claim 11 in which the amplified electrical signals are demodulated with respect to the source frequencies and the amplitude and phase relative to the source sampled at a frequency of 1-100 Hz per channel and converted from analogue to digital form, of 12 or 16 bit accuracy.
13. A method as claimed in any one of claims 1 to 12 in which the seismic signal is generated whilst the source of the seismic signal is lowered or raised up from the borehole to provide a continuous or semi-continuous measurement of rock along the borehole

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14. Apparatus for measuring the properties of rocks surrounding a borehole, which apparatus comprises a casing adapted to be lowered down a bore hole in which casing there is a seismic means for generating seismic signals and a means for varying the direction of the seismic signal and having associated therewith, a means adapted to
5 detect electrical signals generated in the rock surrounding the bore hole by the effect of a seismic shock generated by seismic means.

15. Apparatus as claimed in claim 14 in which the means for generating the seismic signals generates a series of pressure pulses or a continuous pressure oscillation, at
10 one or more finite frequencies.

16. Apparatus as claimed in claim 14 or 15 in which the means for generating the seismic signals is a magnetostrictive or piezoelectric transducer whose signal is controllable electrically.
15

17. Apparatus as claimed in any one of claims 14 to 16 in which the means for generating a seismic signal comprises a cylindrical chamber having holes in its side, which when downhole will be full of drilling fluid with the sides of the chamber being close to the sides of the borehole, there being a means to transmit a shock or
20 applied force to the fluid in the chamber so as to cause the shock to be transitted through the fluid in the chamber through the holes into the surrounding rock

18. Apparatus as claimed in any one of claims 14 to 17 in which the electrical receiver consists of one or two pairs of electrodes forming a short dipole antenna with
25 electrically isolated ends or two coils with electrically isolated lines, the ends of which being connected to an amplifier which amplifies the signals whilst keeping them electrically isolated.

19. Apparatus as claimed in any one of claims 14 to 18 in which there are means to
30 physically turn the source to vary the direction of the seismic signal.

20. Apparatus as claimed in claim 14 to 18 in which there is a shield with an aperture positioned around the seismic source which source is adapted to propagate a seismic signal omni-directionally so that the seismic signal propagates through the aperture

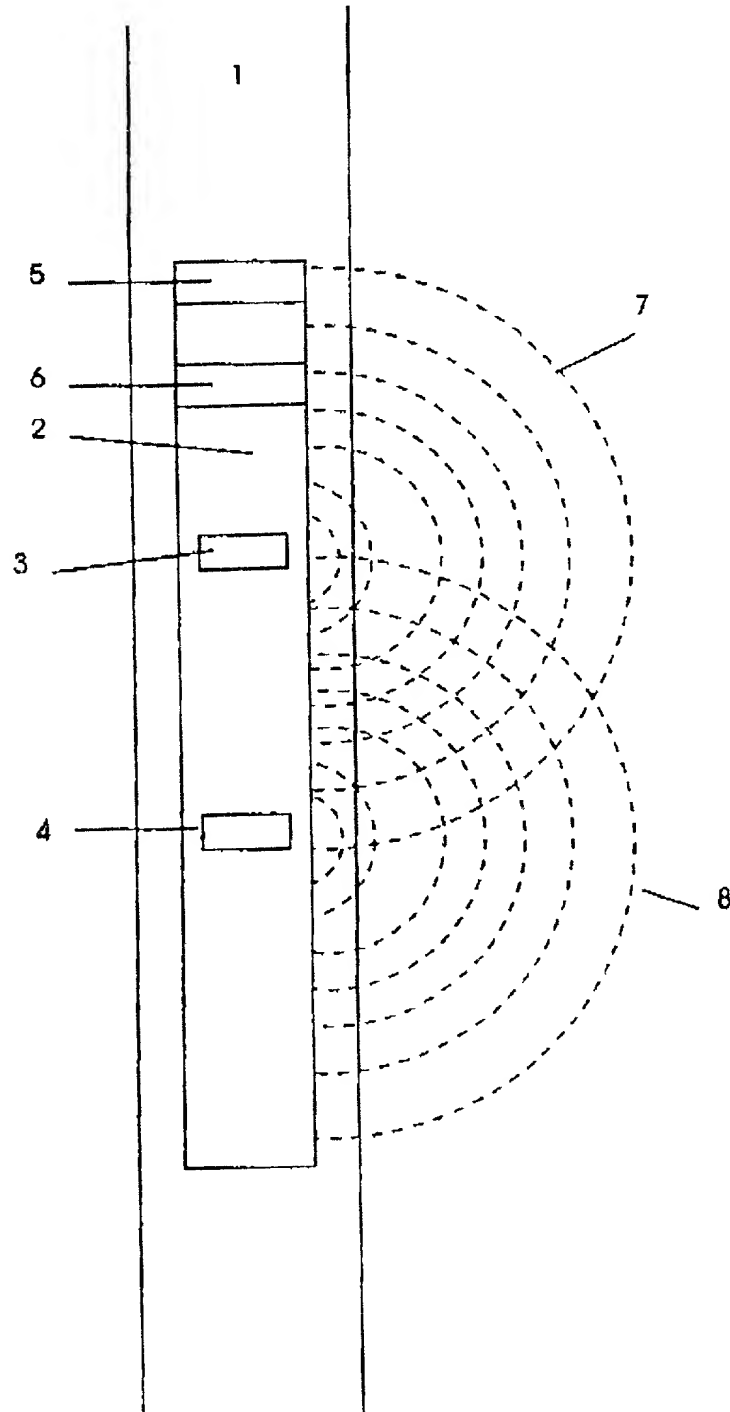
- 11 -

and there are means to move the location of the aperture so the direction of the seismic signal is varied.

5 21. Apparatus as claimed in any one of claims 14 to 18 in which there are two or more sources of seismic signals acting together and means to vary the direction of the seismic signal by wave interference or wave interaction of the two or more sources to produce a seismic signal which is focussed in a particular direction or location and means to vary the frequency, amplitude and/or phases of the sources of the seismic shock to change the spatial distribution, direction and location of the outgoing seismic signal.

10 22. Apparatus as claimed in any one of claims 14 to 18 in which there are two or more separate sources of the seismic shock spaced apart from each other and there are means to vary the amplitude, frequency and/or phase independently of the seismic shock, the source of the seismic shock being able to propagate a seismic signal in substantially all directions so that the direction of the combined signal produced can be varied in three dimensions.

1/1



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EE 856369442 US

Page 1 of 4

Docket No.
GRFL,005-PCT-US

Declaration and Power of Attorney For Patent Application

English Language Declaration

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

METHOD FOR DOWNHOLE LOGGING

the specification of which

(check one)

☐ is attached hereto.

☒ was filed on 15th March 2000 as United States Application No. or PCT International Application Number PCT/GB00/00969 and was amended on _____

(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d) or Section 365(b) of any foreign application(s) for patent or inventor's certificate, or Section 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Not Claimed

99 06096.4

(Number)

GB

(Country)

18th March 1999

(Day/Month/Year Filed)

☐

(Number)

(Country)

(Day/Month/Year Filed)

☐

(Number)

(Country)

(Day/Month/Year Filed)

☐

I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional application(s) listed below.

(Application Serial No.)

(Filing Date)

(Application Serial No.)

(Filing Date)

(Application Serial No.)

(Filing Date)

I hereby claim the benefit under 35 U. S. C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, C. F. R., Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

(Application Serial No.)

(Filing Date)

(Status)
(patented, pending, abandoned)

(Application Serial No.)

(Filing Date)

(Status)
(patented, pending, abandoned)

(Application Serial No.)

(Filing Date)

(Status)
(patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (list name and registration number)

Ronald B. Sherer / 19,977

Send Correspondence to: Ronald B. Sherer
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Direct Telephone Calls to: (name and telephone number)
 Ronald B. Sherer - 717 227 1197

Full name of sole or first inventor
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Sole or first inventor's signature

John W. Millar

Date

6th September 2001

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Second inventor's signature

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Third inventor's signature

Date

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Citizenship

GB

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Full name of fourth inventor, if any

Fourth inventor's signature

Date

Residence

Citizenship

Post Office Address

Full name of fifth inventor, if any

Fifth inventor's signature

Date

Residence

Citizenship

Post Office Address

Full name of sixth inventor, if any

Sixth inventor's signature

Date

Residence

Citizenship

Post Office Address

PCT09

RAW SEQUENCE LISTING

DATE: 10/04/2001

PATENT APPLICATION: US/09/936,790

TIME: 10:57:11

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3 <110> APPLICANT: Genentech
 4 Adams, Sean
 5 Yu, Xiang Xian
 7 <120> TITLE OF INVENTION: CONTROL OF METABOLISM WITH COMPOSITIONS OF THE HUMAN 2-
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 C--> 13 <141> CURRENT FILING DATE: 2001-09-17
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 16 <151> PRIOR FILING DATE: 2000-06-22
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VERIFICATION SUMMARY

DATE: 10/04/2001

PATENT APPLICATION: US/09/936,790

TIME: 10:57:12

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L:13 M:271 C: Current Filing Date differs, Replaced Current Filing Date

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